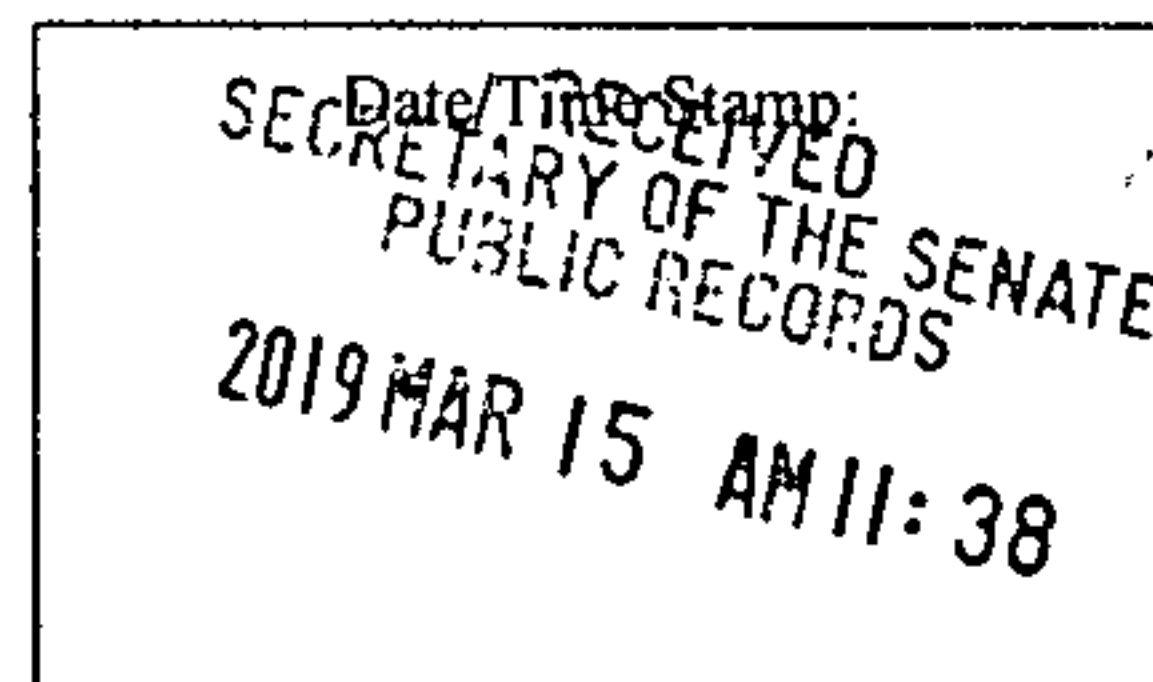


# Employee Post-Travel Disclosure of Travel Expenses



**Post-Travel Filing Instructions:** Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original *Employee Pre-Travel Authorization* (Form RE-1), **AND**  
☒ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute, Inc. (Education and Society Program)

Travel date(s): February 19-21, 2019

Name of accompanying family member (if any): \_\_\_\_\_

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

## Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate	203.59	236.00	122.50	
<input type="checkbox"/> Actual Amount				

## Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Please see attachments.

3/11/19  
(Date)

Matthew Stern  
(Printed name of traveler)

[Signature]  
(Signature of traveler)

## TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

3/14/19  
(Date)

Lamar Alexander  
(Signature of Supervising Senator/Officer)

## EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp  
ETHIC JAN 18 19 PM 12:53

**Pre-Travel Filing Instructions:** Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics** in SH-220. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at [ethics.senate.gov](http://ethics.senate.gov). Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Matthew Stern

Name of Traveler: \_\_\_\_\_

Senate HELP Committee - Chairman Alexander

Employing Office/Committee: \_\_\_\_\_

The Aspen Institute, Inc. (Education and Society Program)

Private Sponsor(s) (list all): \_\_\_\_\_

February 19-21, 2019

Travel date(s): \_\_\_\_\_

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

St. Michaels, MD

Destination(s): \_\_\_\_\_

Explain how this trip is specifically connected to the traveler's official or representational duties:

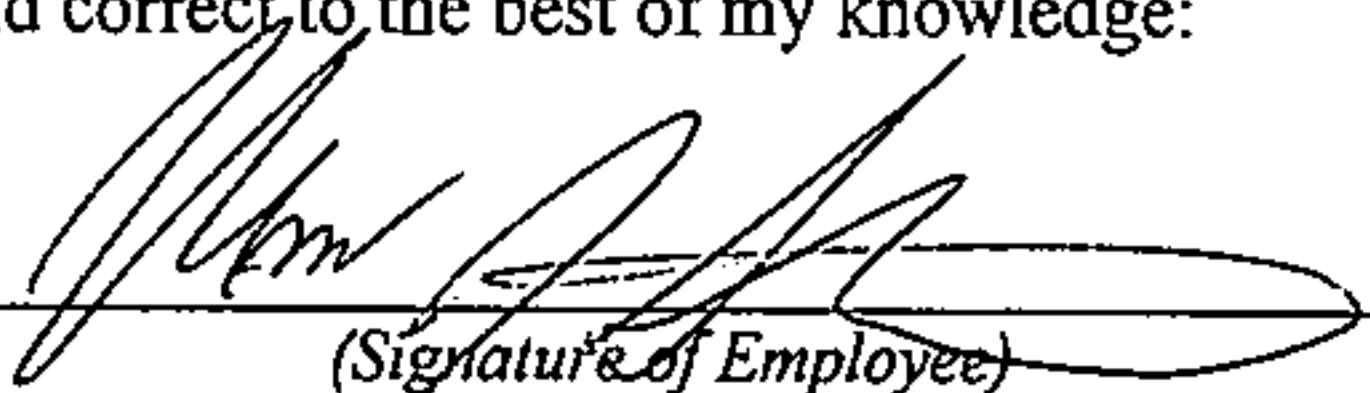
I work on k-12 education policy for Chairman Alexander. This trip is convening senior education staffers on implementation of the Every Student Succeeds Act, the federal K-12 education law. I will learn from the faculty (state and local experts) about implementation of the Every Student Succeeds Act three years after it past. This trip will help me to better understand the law.

Name of accompanying family member (if any): \_\_\_\_\_

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

1/18/19  
(Date)

  
(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

Senator Alexander

Matthew Stern

I, \_\_\_\_\_ hereby authorize \_\_\_\_\_

(Print Senator's/Officer's Name)

(Print Traveler's Name)

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. (signify "yes" by checking box) ☐

1/18/19  
(Date)

Lamar Alexander  
(Signature of Supervising Senator/Officer)



Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – ***“Implementing ESSA: Accountability Systems and Human Capital”*** – for the Aspen Senior Congressional Education Staff Network from 12:00 PM Tuesday, February 19, 2019 to 1:00 PM Thursday, February 21, 2019 at the Inn at Perry Cabin, located 79 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on the implementation of the Every Student Succeeds Act. Staffers will understand how states implementing their ESSA plans and building coherence across priorities, systems, and programs. Participants will also have a chance to explore state accountability systems, taking a deep dive into the operation of one state's accountability and discussing implications for school identification and improvement, student subgroups, and the school quality/student success indicator. Our conversations will also focus on human capital strategy and systems. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We are committed to working with you and the Senate Ethics Committee to ensure compliance with the Senate rules regarding privately-funded sponsored travel. Enclosed you will find all the forms necessary for filing the trip with the Ethics Committee:

- A detailed agenda listing discussion sessions
- A completed Private Sponsor Travel Certification Form and appendix
- A list of invited Senate staffers
- A blank Employee Pre-Travel Authorization form

**You must complete the Traveler Form and submit it with the enclosed agenda, list of invited staffers, and Primary Trip Sponsor Form directly to the Senate Ethics Committee (220 Hart) no later than Friday, January 18, 2019. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the site visit.**

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at 12:00 PM on Tuesday, February 19, 2019, at the Inn at Perry Cabin and will conclude at 11:30 AM on Thursday, February 21, 2019. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is business casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Paul:

## Ross Wiener

*Handwritten signature*

Danielle Gonzales

Marion Goldstein

Marisa Goldstein



**Doug Mesecar**

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## **Aspen Senior Congressional Education Staff Network Retreat**

### ***Implementing ESSA: Accountability Systems and Human Capital***

**Inn at Perry Cabin  
308 Watkins Lane  
St. Michaels, MD 21663  
P: 410-745-2200**

**February 19-21, 2019**

Please provide names and titles of ALL Senate Members and employees you are inviting.

The Senate employees invited (listed below) are senior education staff responsible for education issues; they are invited specifically because of their education portfolio to meet with leaders and educational experts from states, districts, research, and support organizations to engage in non-partisan dialogue on the impact of federal policy on different levels of the education system.

<b>SENATE CONGRESSIONAL STAFF</b>
-----------------------------------

**Jake Cornett**  
Minority Senior Advisor  
Senate Committee on Health, Education, Labor,  
and Pensions

**Laura Friedel**  
Majority Clerk  
Senate Appropriations Subcommittee on Labor,  
Health and Human Services, and Education

**Mike Gentile**  
Majority Professional Staff Member  
Senate Appropriations Subcommittee on Labor,  
Health and Human Services, and Education

**Jenn Hatfield**  
Majority Education Research Assistant  
Senate Committee on Health, Education, Labor,  
and Pensions

**Jordan Hynes**  
Majority Professional Staff Member  
Senate Committee on Health, Education, Labor,  
and Pensions

**Alex Keenan**  
Minority Clerk  
Senate Appropriations Subcommittee on Labor,  
Health and Human Services, and Education

**Mark Laisch**  
Minority Professional Staff Member  
Senate Appropriations Subcommittee on Labor,  
Health and Human Services, and Education

**Kara Marchione**  
Minority Education Policy Director  
Senate Committee on Health, Education, Labor,  
and Pensions

**Bob Moran**  
Majority Deputy Education Policy Director  
Senate Committee on Health, Education, Labor,  
and Pensions

**Matt Stern**  
Majority Professional Staff  
Senate Committee on Health, Education, Labor,  
and Pensions

**Lindsey Tepe**  
Minority Legislative Fellow  
Senate Committee on Health, Education, Labor,  
and Pensions

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## Implementing ESSA: Accountability Systems and Human Capital

**February 19-21, 2019**

## AGENDA

- Understand how states and districts are implementing the Every Student Succeeds Act (ESSA) and building coherence across priorities, systems, and programs;
- Consider the operation and implications of accountability systems in identifying and supporting schools, with a particular focus on the school quality/student success indicator, as well as subgroups; Conduct an in-depth review of the operation, output, and implications of one state's ESSA accountability system, including identifying and supporting schools for improvement; Explore how district leaders manage human capital strategy and systems to promote improvement and address equity, including connecting human capital to the district's strategic plan; Engage in active learning and build working relationships with education leaders from the field, as well as with colleagues from different parties and chambers.

***All Meeting Sessions in the Commodore Room***

*What role are other support organizations, like regional comprehensive centers, playing in supporting implementation and building capacity?*

- Have the recent elections impacted state leadership, ESSA implementation, and/or ESSA plan amendments?

**3:00 – 3:15 PM**

**Break**

**3:15 – 5:15 PM**

**Session II: Deep Dive into Accountability System Operations**

*Laura Pinsonneault, Director of the Office of Educational Accountability, Wisconsin Department of Public Instruction*

Staff will be led through a detailed data analysis by a state accountability leader to better understand how an SEA goes from data collection, to data aggregation, to school identification, and stakeholder communication. Staff and faculty will consider implications for which schools are identified and why, including what it means for SEA and LEA capacity, human capital decisions, budgeting, and overall strategy.

**5:15 – 5:30 PM**

**Taking stock: Staff reflections and feedback to guide remaining discussions**

**6:30 PM**

**Networking Reception with Expert Faculty**

*Miles Room*

Staffers will have the opportunity to network with faculty during the reception.

**7:00 – 8:30 PM**

**Dinner with Discussion of Earlier Sessions**

*Fireside section of the Stars Restaurant*

**Wednesday, February 20, 2019**

**All Meeting Sessions in the Commodore Room**

**7:30 – 8:30 AM**

**Breakfast**

*Fireside section of the Stars Restaurant*

**8:30 – 8:35 PM**

**Group reflection on Day 1: What thoughts and questions were raised for further discussion?**

**8:35 – 10:05 AM**

**Session III: Accountability System Reflection: Context and Implications**

In small groups of 3-4, participants will engage in a discussion protocol using an *Omaha World Herald* article on how demographic changes are changing in one Nebraska district. As a full group, we will connect the themes from the text-based discussion to state and district approaches to accountability.

**Guiding Questions:**

*How are socio-economic and demographic shifts impacting accountability systems, including school identifications and support systems?*

*What is the preparedness of SEAs and LEAs to effectively implement ESSA's school and subgroup identification and improvement requirements, including systems, communications, plans, and supports?*

*What trends are emerging in school identification (new insights or continuing trends) around subgroup identification and implications for support?*

*Are accountability systems producing valid, reliable, and predicted results that align with SEAs' ESSA plans, as well as supporting the state's systemic vision and goals?*

*Is the state's system and its output intelligible/useful to internal stakeholders (e.g., LEA and school leaders) and external stakeholders (e.g., parents, the public)?*

**10:05 – 10:20 AM**

**Break and individual reflection**



**10:20 AM – 12:00 PM Session IV: Accountability Focus: Chronic Absenteeism and School Culture/Climate**

*Kyle Guarrant, Deputy Superintendent, Finance and Operations, Michigan Department of Education*

*Lorri Hobson, Director of Attendance, Cleveland Metropolitan School District*

*Pedro Rivera, Secretary of Education, Pennsylvania Department of Education*

This session will focus on how SEAs and LEAs are incorporating and utilizing chronic absenteeism in the context of accountability and school improvement.

Guiding Questions:

- *How are LEAs and schools determining and addressing the root causes of chronic absenteeism, including in-school and out-of-school causes?*
- *In what ways are SEAs and LEAs looking to report on chronic absenteeism (e.g., on report cards, to directly involved stakeholders, and to the general public)?*
- *How are SEAs, LEAs, and schools planning to use chronic absenteeism as a way to develop and improve critical areas that can impact students' attendance (e.g., school culture/climate, teacher expectations, course rigor and relevance)?*
- *How can SEAs and LEAs strategically use/blend funds across Titles and other sources to strengthen practice around students' social and emotional development by focusing on chronic absenteeism?*

**12:00 – 1:00 PM**

**Lunch**

*Fireside section of the Stars Restaurant*

**1:00 – 4:15 PM**

**Session V: Deep Dive on Human Capital and District Strategy**

*Tricia McManus, Assistant Superintendent, Hillsborough County Public Schools*

Faculty will lead staff through a detailed presentation on district human capital strategy and systems. Consideration will be given to ESSA's impact on human capital strategy and implementation, from programmatic requirements and funding to the impact of school identification and improvement efforts.

After this deep dive, staff and faculty will go on a partner walk to discuss what they heard and surface questions for full-group discussion.

This session will conclude with a facilitated discussion.

Guiding Questions:

- *How are SEA and LEA leaders using ESSA's funding and policies to recruit, develop, place, and retain effective teachers and leaders based on identified needs, including accountability outcomes and equitable distribution?*  
*Are district HR systems adequately supporting and informing human capital strategy? Are all the systems connected and aligned to the same goals and outcomes, including to accountability?*
- *How have educator evaluation systems evolved since ESSA's passage? Is evaluation any better coordinated across federal, state, and local programs and initiatives?*

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- *How are SEAs and LEAs leveraging human capital to support school improvement efforts, including improving school culture and addressing chronic absenteeism?*

4:15 – 4:30 PM	Break	
4:30 – 4:50 PM	Taking stock: Staff reflections and feedback to guide remaining discussions	
6:15 PM	Networking Reception with Expert Faculty	Morning Room
	Staffers will have the opportunity to network with faculty during the reception.	
7:00 – 8:30 PM	Dinner with Discussion of Earlier Sessions	Admiral Room

**Thursday, February 21, 2019**

***All Meeting Sessions in the Commodore Room***

7:30 – 8:30 AM	Breakfast	<i>Fireside section of the Stars Restaurant</i>
8:30 – 8:35 AM	Staff reflections and feedback to guide remaining discussion	
8:35 – 9:45 AM	<b><u>Session VI: Leveraging Federal Funds</u></b>  <i>Kimberly Glass, Federal Programs and Professional Development Coordinator, Springdale Public Schools</i>  <i>Kyle Guerrant, Deputy Superintendent, Finance and Operations, Michigan Department of Education</i>  Guiding Questions: <ul style="list-style-type: none"> <li>• <i>How are SEAs and LEAs leveraging federal funds to implement ESSA and support their state vision and goals?</i>  <i>In what ways are LEAs combining federal funds (from a strategic standpoint and within the context of the law's provisions) with other funds in terms of achieving system goals and outcomes?</i>  <i>Do districts find it difficult to use the transferability authority? In addition, how do districts typically implement the consolidation of funds permitted under schoolwides?</i></li> <li>• <i>How are tensions and tradeoffs between federal, state, and local funding and requirements resolved?</i></li> </ul>	
9:45 – 10:00 AM	Break	
10:00 – 11:00 AM	<b><u>Session VII: Intersection of Accountability, Human Capital, and Budgets</u></b>  <i>Tricia McManus, Assistant Superintendent, Hillsborough County Public Schools</i> <i>Pedro Rivera, Secretary of Education, Pennsylvania Department of Education</i>  Guiding Questions: <ul style="list-style-type: none"> <li>• <i>How are SEA and LEA leaders balancing accountability, human capital strategy, and federal funds to implement ESSA and achieve state and district goals?</i>  <i>As SEA and LEA leaders implement their accountability systems, identify schools, and support/improve those schools, what other issues do they need to</i></li> </ul>	

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*address (e.g., building internal capacity, identifying resource needs, examining human capital strategy, re-examining spending priorities, etc.)?*

- *What supports do SEA and LEA leaders need to navigate these challenges or take advantage of these opportunities?*

*What are the most important roles for ED as states and LEAs move into accountability system implementation and school identification? Are there ways ED or federally-funded centers can support greater coherence?*

<b>11:00 – 11:15 AM</b>	<b>Complete Retreat Evaluation</b>	
<b>11:15 – 11:40 AM</b>	<b>Final Observations from Expert Faculty</b>	
<b>11:40 – 12:00 PM</b>	<b>Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network</b>	
<b>12:00 – 1:00 PM</b>	<b>Lunch and Adjourn</b>	<i>Fireside section of the Stars Restaurant</i>

## Appendix to Private Sponsor Travel Certification Form

**Question 12.** Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) -- The Bill & Melinda Gates Foundation is not a sponsor of this trip and did not play a role in organizing, planning or conducting the trip. The Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network; however, the Foundation did not earmark any funding for this trip.

**Question 15.** Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) – The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

## PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors):  
The Aspen Institute, Inc. (Education and Society Program)
2. Description of the trip: Aspen Institute Education and Society program sponsored convening for senior education staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
3. Dates of travel: February 19-21, 2019
4. Place of travel: St. Michaels, MD
5. Name and title of Senate invitees: Please see attached roster
6. I *certify* that the trip fits one of the following categories:  
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.  
— OR —  
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.  
— AND —  
☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:  
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.  
— AND —  
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).



**SECRET**

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and execution of the convening. (see continued response)

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The Aspen Institute Education and Society program has been conducting convenings for Congressional education staff for twelve years.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general (see continued response)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate  <input type="checkbox"/> Actual Amounts	\$95.58 (round trip mileage and tolls)	\$236.00 for two nights total	\$122.50	\$452.57 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

b) The trip is organized specifically with regard to Congressional staff participation in order to support their learning on implementation of the Every Student Succeeds Act.

18. Reason for selecting the location of the event or trip

The location is close to Washington, DC for easy staffer travel and allows faculty members (external experts brought in to support the retreat) to fly into DCA, Dulles or BWI and travel easily to the facility.

19. Name and location of hotel or other lodging facility:

Inn at Perry Cabin, 308 Watkins Lane, St. Michaels, MD 21663

20. Reason(s) for selecting hotel or other lodging facility:

The meeting location has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Meals are 2/19/19 \$35.25 per day, 2/20/19 \$61.00 per day, 2/21/19, \$26.25 per day, which reflects the per diem limit

Transportation is not provided; mileage will be reimbursed for participants' travel by personal car

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

**Name and Title:** Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street NW, Suite 700, Washington, DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: [lisa.jones@aspeninst.org](mailto:lisa.jones@aspeninst.org)



*(to be completed by each additional sponsor)*

I hereby *certify* that the information contained on pages 1-4 of the certification form and any accompanying addenda, all submitted in connection with the \_\_\_\_\_ trip  
to \_\_\_\_\_ is true, complete, and correct.  
*Dates of Travel (Month Day, Year)*  
*Place of Travel*

E-mail Address:

Private Sponsor Certification – Additional Sponsor Signature Page

## Instructions

(Do not file the Instructions with OPR)

### General Instructions

- The Senate Select Committee on Ethics (“Ethics Committee”) has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
  - a. the stated mission of the organization sponsoring the trip;
  - b. the organization’s prior history of sponsoring congressional trips, if any;
  - c. other educational activities performed by the organization besides sponsoring congressional trips;
  - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
  - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
  - f. whether there is an adequate connection between a trip and official duties;
  - g. the reasonableness of the total amount spent by a sponsor of the trip;
  - h. whether there is a direct and immediate relationship between a source of funding and an event;
  - i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
  - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
  - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the *Senate Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

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## **Filling out the Private Sponsor Travel Certification Form** (Question by Question Instructions)

1. *Sponsor(s) of the trip (please list all sponsors):* A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.
2. *Description of the trip:* Provide a brief statement about the purpose of the trip.
3. *Dates of travel:* Provide the dates of departure and return.
4. *Place of travel:* Provide the destination(s) for the trip.
5. *Name and titles of Senate invitees:* Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.
6. *I certify that the trip fits one of the following categories:* A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.
7. *Financing of the trip, earmarked funds and in-kind contributions:* Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.
8. *Lobbyist/agent of a foreign principal involvement:* Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a *de minimis* way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

*Example:* A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a *de minimis* level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.



9. *Lobbyist/agent of a foreign principal accompaniment standards:* Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. *At any segment of the trip* means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). *At any point throughout the trip* means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a *de minimis* way. This is a broader prohibition than the *at any segment of a trip* standard.

*“De minimis” exception:* Both lobbyist/agent of a foreign principal “accompaniment” prohibitions include a *de minimis* exemption. *De minimis* means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered *de minimis*. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

10. *If travel includes two overnight stays:* The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
11. *An itinerary for the trip is attached to this form:* The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
12. *Briefly describe the role of each sponsor in organizing and conducting the trip:* A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
13. *Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:* Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
14. *Briefly describe each sponsor's prior history of sponsoring congressional trips:* Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
15. *Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):* Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
16. *Total expenses for each participant:* Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

